



## INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

<b>(51) International Patent Classification <sup>6</sup> :</b> <b>C12P 41/00, 17/10, 17/12</b>	<b>A1</b>	<b>(11) International Publication Number:</b> <b>WO 99/41405</b> <b>(43) International Publication Date:</b> 19 August 1999 (19.08.99)
<b>(21) International Application Number:</b> PCT/US99/01485 <b>(22) International Filing Date:</b> 16 February 1999 (16.02.99) <b>(30) Priority Data:</b> 60/074,830 17 February 1998 (17.02.98) US <b>(71) Applicant (for all designated States except US):</b> G.D. SEARLE & CO. [US/US]; Corporate Patent Dept., P.O. Box 5110, Chicago, IL 60680-5110 (US). <b>(72) Inventors; and</b> <b>(75) Inventors/Applicants (for US only):</b> HANSEN, Donald, W., Jr. [US/US]; 5250 West Brown Street, Skokie, IL 60077 (US). TRIVEDI, Mahima [US/US]; 2600 Golf Road #410, Glenview, IL 60025 (US). GAPUD, Rolando, E. [US/US]; 50 E. Bellevue Place, Chicago, IL 60611 (US). NG, John, S. [US/US]; 341 West 30th Place, Chicago, IL 60616 (US). ASTHI, Alok, K. [US/US]; 9438 Keystone Avenue, Skokie, IL 60076 (US). WANG, Ping, T. [US/US]; 513 Tenby Terrace, Manchester, MO 63011 (US). <b>(74) Agents:</b> SCRIVNER, Alan, S. et al.; G.D. Searle & Co., Corporate Patent Dept., P.O. Box 5110, Chicago, IL 60680-5110 (US).		<b>(81) Designated States:</b> AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CU, CZ, DE, DK, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, UA, UG, US, UZ, VN, YU, ZW, ARIPO patent (GH, GM, KE, LS, MW, SD, SZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).  <b>Published</b> <i>With international search report. Before the expiration of the time limit for amending the claims and to be republished in the event of the receipt of amendments.</i>
<b>(54) Title:</b> PROCESS FOR THE ENZYMATIC RESOLUTION OF LACTAMS		
<b>(57) Abstract</b>  A method of separating enantiomeric lactam esters. The lactam esters are contacted with a biocatalyst, such as an enzyme or a microorganism, in a solution wherein only one enantiomer is selectively hydrolyzed to give the optically active isomer of the corresponding acid. The hydrolysis product is then separated from the unreacted lactam esters. The enzyme is then recycled for reuse in the next enzymatic resolution. The undesired isomer is also racemized and reused in the next enzymatic resolution.		

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## PROCESS FOR THE ENZYMATIC RESOLUTION OF LACTAMS

### BACKGROUND OF THE INVENTION

#### Field of the Invention

5       The present invention relates to the enzymatic resolution of lactams. The method of the present invention is useful in preparing compounds which may have utility as pharmaceutical, agricultural and veterinary products or starting materials and intermediates for their synthesis.

#### Discussion of the Prior Art

10       It is known in the art that chiral resolution of compounds can be achieved by using enzymes. Chiral resolution using enzymes such as esterases on aliphatic esters and cyclic compounds containing esters are described in, for example, W. Boland et al., Synthesis, 1049-1072, 1991. Chiral resolutions using enzymes in aliphatic methyl esters hydrolysis is described in, for example, H. Ohta et al., Chem. Lett., 657-660, 1992. Chiral resolutions  
15       using enzymes in cyclohexanes systems are described in, inter alia, M. Ohno, Tet. Lett., 29, 6961-6964, 1988; H. Hemmerle, Tet Lett., 28, 3471-3474, 1987; and B. Brion, Tet Lett., 33, 4889-4892, 1992. Chiral resolutions using lipases or Acetylcholine esterases on cycloheptanes containing diacetates is found in A.J. Pearson et al., IOC, 54, 3882, 1989. Beta-lactams have been reported to be selectively acylated by lipase at the nitrogen function  
20       (C. Sih et al., IOC, 58, 1068, 1993).

      However, there is no prior art for the enzymatic resolution of lactam esters. It is often desired to obtain a single enantiomer of a racemic lactam ester. These compounds can be used as intermediates for preparing compounds which have utility as starting materials and intermediates for the synthesis of pharmaceutical, agricultural and veterinary products. For  
25       example, the enantiomerically pure form of 7-carbomethoxycaprolactam is a useful intermediate in the synthesis of pharmaceutical drug candidates.

### SUMMARY OF THE INVENTION

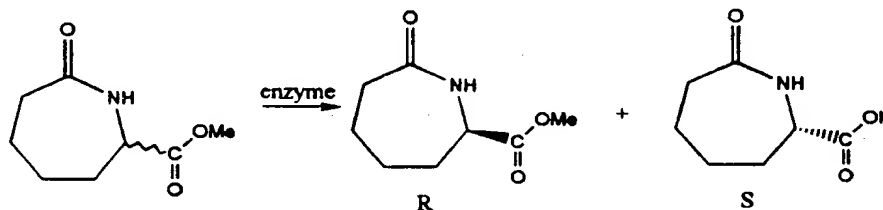
30       The present invention is directed to a method of separating enantiomeric lactam esters. The lactam esters are contacted with a biocatalyst, such as an enzyme or a microorganism, in an aqueous solution, an organic solvent, or a mixture of organic and

aqueous solvents, wherein only one enantiomer is selectively hydrolyzed to give the optically active isomer of the corresponding acid. The hydrolysis product is then separated from the unreacted lactam esters using standard methods known to those skilled in the art. This invention also discloses a novel method for the recycling and re-use of the enzymes as well as the racemization of either enantiomer of the lactam ester after enzymatic resolution.

### **DETAILED DESCRIPTION OF THE PREFERRED EMBODIMENTS**

The present invention is directed to contacting racemic esters of lactam with a biocatalyst, such as an enzyme or a microorganism, whereby one of the optical isomers is selectively hydrolyzed to give the optically active isomer of the corresponding acid. The optically active products are then isolated/purified using suitable procedures.

For illustrative purposes only, the process of the present invention is demonstrated by the following example of enzymatic cleavage of a racemic 7-carbomethoxy caprolactam wherein the S configuration is converted to its acid:



For convenience, the procedure is described herein using racemic esters of lactam; however, the method of the present invention is not limited to use with the racemic form. The lactam ester may be present in the optical active form or in nonracemic mixtures which have an excess of one of the optical isomers. The method of the present invention allows the lactam mixture to react such that only one of two enantiomeric esters of the lactam is converted to its acid.

The term "stereoselective hydrolysis" refers to the preferential hydrolysis of one enantiomer relative to another. The term "mixture" as used herein in relation to enantiomeric compounds, denotes mixtures having equal (racemic) or nonequal amounts of enantiomers. The term "resolution" denotes partial, as well as, preferably, complete resolution. The term "enzymatic process" or "enzymatic method" or "enzymatic reaction" denote a process or method or reaction of the present invention employing an enzyme or

microorganism. The term "enantiomeric excess(es)" is related to the older term "optical purity". In a mixture of a pure enantiomer (R or S) and a racemate, enantiomeric excess is the percent excess of the enantiomer over the racemate. It can be expressed in the following equation, for example:

$$\text{Optical purity} = \text{percent enantiomeric excess} = \frac{[R] - [S]}{[R] + [S]} \times 100 = \%R - \%S$$

5 The enzyme may be any enzyme obtainable from animals, plants, microorganisms, etc. The enzyme may be employed in any conventional form such as in a purified form, a crude form, a mixture with other enzymes, a microbial fermentation broth, a fermentation broth, a microbial body, a filtrate of fermentation broth, and the like, either solely or in combination. In addition, the enzyme or microbial body may be immobilized on a resin.

10 The activities of the enzymes used in this invention are expressed in "units". Units are defined as the rate of hydrolysis of p-nitrophenyl proprionate per minutes as expressed in  $\mu\text{mol}/\text{min}$  at room temperature.

Specific examples of the enzyme are those obtained from animal and plants such as cow liver esterase, pig liver esterase, pig pancreas esterase, horse liver esterase, dog liver  
15 esterase, pig phosphatase, amylase obtainable from barley and potato and lipase obtainable from wheat. Other examples are hydrolases obtained from such microorganisms as *Rhodotorula*, *Trichoderma*, *Candida*, *Hansenula*, *Pseudomonas*, *Bacillus*, *Achromobacter*, *Nocardia*, *Chromobacterium*, *Flavobacterium*, *Rhizopus*, *Mucor*, *Aspergillus*, *Alkaligenes*, *Pediococcus*, *Klebsiella*, *Geotrichum*, *Lactobaccilus*, *Cryptococcus*, *Pichia*,  
20 *Aureobasidium*, *Actinomucor*, *Enterobacter*, *Torulopsis*, *Corynebacterium*, *Endomyces*, *Saccaromyces*, *Arthrobacter*, *Metshnikowla*, *Pleurotus*, *Streptomyces*, *Proteus*, *Gliocladium*, *Acetobacter*, *Helminthosporium*, *Brevibacterium*, *Escherichia*, *Citrobacter*, *Absidia*, *Micrococcus*, *Microbacterium*, *Penicillium* and *Schizophyllum* as well as from lichen and algae.

25 Specific examples of the microorganisms useful in the present invention include, but are not limited to, *Rhodotorula minuta*, *Rhodotorula rubra*, *Candida krusei*, *Candida cylindracea*, *Candida tropicalis*, *Candida utilis*, *Pseudomonas fragi*, *Pseudomonas putida*, *Pseudomonas fluorescens*, *Pseudomonas aeruginosa*, *Rhizopus chinensis*, *Mucor pusillus*,

*Aspergillus niger*, *Alkaligenes faecalis*, *Torulopsis ernobii*, *Bacillus cereus*, *Bacillus subtilis*, *Bacillus pulmilus*, *Bacillus subtilis* var. *niger*, *Citrobacter freundii*, *Micrococcus varians*, *Micrococcus luteus*, *Pediococcus acidilactici*, *Klebsiella pneumoniae*, *Absidia hyalosporea*, *Geotrichum candidum*, *Schizophyllum commune*, *Nocardia uniformis*  
 5 *subtisyanae*, *Nocardia uniformis*, *Chromobacterium chocolateum*, *Hansenula anomala* var. *ciferrii*, *Hansenula anomala*, *Hansenula polymorpha*, *Achromobacter lyticus*, *Achromobacter parvulus*, *Achromobacter simplex*, *Torulopsis candida*, *Corynebacterium sepedonicum*, *Endomyces geotrichum*, *Saccaromyces carvisial*, *Arthrobacter globiformis*,  
*Streptomyces griseus*, *Micrococcus luteus*, *Enterobacter cloacae*, *Corynebacterium ezui*,  
 10 *Lactobacillus casei*, *Cryptococcus albidus*, *Pichia polymorpha*, *Penicillium frequentans*, *Aureobasidium pullulans*, *Actinomucor elegans*, *Streptomyces griseus*, *Proteus vulgaris*, *Gliocladium roseum*, *Gliocladium virens*, *Acetobacter aurantius*, *Helminthosporium* sp. *Chromobacterium iodinum*, *Chromobacterium violaceum*, *Flavobacterium lutescens*, *Metschnikowia pulcherrima*, *Pleurotus ostreatus*, *Brevibacterium ammoniagenes*,  
 15 *Brevibacterium divaricatum*, *Escherichia coli*, *Rhodotolura minuta* var. *texensis*, *Trichoderma longibrachiatum*, *Mucor javanicus*, *Flavobacterium arborescens*, *Flavobacterium heparinum*, and *Flavobacterium capsulatum*.

Exemplary, commercially available enzymes suitable for use in the present invention include lipases such as Amano PS-30 (*Pseudomonas cepacia*), Amano GC-20 (*Geotrichum*  
 20 *candidum*), Amano APF (*Aspergillus niger*), Amano AK (*Pseudomonas* sp.), *Pseudomonas fluorescens* lipase (Biocatalyst Ltd.), Amano Lipase P30 (*Pseudomonas* sp.), Amano P (*Pseudomonas fluorescens*), Amano AY-30 (*Candida cylindracea*), Amano N (*Rhizopus niveus*), Amano R (*Penicillium* sp.), Amano FAP (*Rhizopus oryzae*), Amano AP-12 (*Aspergillus niger*), Amano MAP (*Mucor melhei*), Amano GC-4 (*Geotrichum candidum*),  
 25 Sigma L-0382 and L-3126 (porcine pancrease), Lipase OF (Sepracor), Esterase 30,000 (Gist-Brocarde), KID Lipase (Gist-Brocarde), Lipase R (*Rhizopus* sp., Amano), Sigma L-3001 (Wheat germ), Sigma L-1754 (*Candida cylindracea*), Sigma L-0763 (*Chromobacterium viscosum*) and Amano K-30 (*Aspergillus niger*). Additionally, exemplary enzymes derived from animal tissue include esterase from pig liver, chymotrypsin  
 30 and pancreatin from pancreas such as Porcine Pancreatic Lipase (Sigma). Two or more, as

well as a single, enzyme may be employed when carrying out the process of the present invention.

In addition, enzymes which are serine carboxypeptidases can be used. These enzymes are derived from *Candida lipolytica*, *Saccharomyces cerevisiae*, wheat (*Triticum aestivum*) and *Penicillium janthinellum*. Commercially available cross-linked enzyme crystals may also be used such as from Altus Biologics, Inc. (e.g. ChiroCLEC-CR, ChiroCLEC-PC, ChiroCLEC-EC).

The present invention is also directed to the use of thermostable esterases and genetically engineered esterases for the resolution of the lactam esters. These enzymes, commercially available from ThermoGen, Inc., are especially suitable for use in industrial processes and are easy to use. In addition to functioning at a wide range of temperatures including higher temperatures, these thermostable enzymes possess an increased shelf life which improves handling. The enzymes are also able to endure harsh, non-biological conditions (pH, salt concentrations, etc.) usually associated with industrial processes because of their stability under operational conditions. They can be immobilized for reuse in multiple applications and hence improving the cost-effectiveness of the process.

During the isolation of the products after enzymatic resolution, the enzymes are frequently exposed to traces of organic solvents. In addition, some enzymatic resolutions are found to work best under a mixture of aqueous and organic solvents or in organic solvents alone. The esterase enzymes of the present invention are more tolerant to denaturing by many organic solvents compared to conventional enzymes which allows longer operational half lives. Most of the esterase enzymes are produced using genetic engineering techniques of gene cloning which ensures the purity of these enzymes and the ease of process controls during scale up.

It was discovered that many esterase and lipase enzymes offer a high degree of stereoselectivity in the resolution of the lactam esters. The preferred enzymes for the resolutions of lactam esters include the thermoesterases THERMOCAT E002, THERMOCAT E010, THERMOCAT E015, THERMOCAT E020 from ThermoGen, Inc. with the most preferred enzymes being the THERMOCAT E020.

Instead of isolated enzymes, there may also be employed a microorganism which can produce any enzyme as stated above.

The enzyme or microorganisms may be used alone or in combination. Depending upon the type of enzyme or microorganism used, either one of the optical isomers of the lactam ester is predominantly hydrolyzed to give the optically active acid. Either one of the optical isomers may be obtained by the selection of a suitable enzyme or microorganism.

5       The enzymatic hydrolysis of the present invention may be carried out by contacting the lactam esters with the enzyme or microorganism, usually in an aqueous buffer medium with good agitation.

~~The buffer medium may be inorganic acid salt buffers (e.g. potassium dihydrogen~~  
phosphate, sodium dihydrogen phosphate), organic acid salt buffers (e.g. sodium citrate),  
10       or any other suitable buffer. The concentration of the buffer may vary from 0.005 to 2 M, preferably from 0.005 to 0.5 M and will depend on the specific lactam ester and the enzymes microorganism used.

15       Depending on the solubility of the lactam esters, a surfactant may be added to the reaction mixture to solubilize the substrate; preferred surfactants include but are not limited to nonionic surfactants such as alkylaryl polyether alcohols. A preferred surfactant is octylphenoxy polyethoxyethanol, commercially available as Triton X-100 (from Sigma Chemical Company). An effective amount of a surfactant is used. Typical amounts can vary from 0.05% to about 10%.

20       It is sometimes preferable to add an effective amount of an organic cosolvent to increase product solubility to facilitate the reaction. Examples of solvents included but not limited to acetonitrile, THF, DMSO, DMF, alcohols, etc. Effective amounts of a co-solvent includes from 1% to 30% depending on the specific lactam ester and the enzymes microorganism used.

25       The pH of the buffers or the pH of the reaction is normally from 4 to 10, preferably from 5 to 9, most preferably from 7 to 8. The reaction temperature may vary from 0 to 100 °C and will depend on the specific lactam ester and the enzymes or microorganism used. The reaction time is generally from 1 hour to 70 hours and will depend on the specific lactam ester, enzyme concentration and the enzymes the microorganism used. Normally, the enzymatic hydrolysis is allowed to proceed for a period sufficient to generate a  
30       satisfactory quantity of the desired esters or acid in satisfactory optical purity. As the reaction progresses, the amount of desired ester or acid and their optical purities may be



monitored by HPLC and chiral HPLC. Normally, the conversion is carried to approximately 50%, after which the acid and the esters are usually obtained in good yields after isolation.

The amount of enzyme used could vary widely from 5 units to 12,000 units of enzyme per mole of starting materials. (The activities of the enzymes used in this invention are expressed in "units". Units are defined as the rate of hydrolysis of p-nitrophenyl propionate per minutes as expressed in  $\mu\text{mol}/\text{min}$  at room temperature). The amount of enzyme needed will depend on the temperature, the specific lactam ester, the enzymes and/or microorganism used, and the desirable reaction time. It may also be desirable to use a large amount of enzymes in some cases to ensure a practically short reaction time, especially when the enzymes are immobilized and can be reused for many turnovers. The concentration of the ester substrate may be from 0.1 g/L to 100 g/L and depends on the specific lactam ester and the enzyme and/or microorganism used.

The enzymes and/or microorganisms used in the present invention may be in crude form or in an immobilized form. They can be immobilized on various solid supports without loss of stereospecificity or change in stereo selectivity. The solid supports can be inert absorbents to which the enzyme is not covalently bonded. Instead the enzyme is adsorbed such as by interactions of hydrophobic or hydrophilic portions of a protein with like regions of the inert absorbent, by hydrogen bonding, by salt bridge formation, or by electrostatic interactions. Inert absorbent materials include, but are not limited to, synthetic polymers (e.g. polystyrene, poly-(vinylalcohol), polyethylene and polyamides), mineralaceous compounds (e.g. diatomaceous earth and Fuller's earth), or naturally occurring polymers (e.g. cellulose). Specific examples of such materials include Celite 545 diatomaceous earth, Abelite XAD-8 polymeric resin beads and polyethylene glycol 8000.

The enzyme may also be immobilized on the support to which the enzyme is covalently bonded (e.g., oxirane-acrylic beads and glutaraldehyde activated supports). Specific examples include Eupergit C oxirane-acrylic beads and glutaraldehyde activated Celite 545. Other possible immobilizing systems are well known and are readily available to those skilled in the art of enzyme immobilization.

Instead of conventional immobilization method described above, it was discovered that the enzymes could also be conveniently recycled for reuse by simply precipitating out

the used enzymes with ammonium sulfate. The precipitated enzyme-ammonium sulfate could be used directly in the next enzymatic hydrolysis. Salts are commonly used in purification of enzymes. They generally protect the protein enzymes by reducing solvent activity. It was discovered that ammonium sulfate, potassium sulfate, potassium phosphate, sodium chloride etc. are effective in recovering the enzyme thermoesterase (E020) activity. Among the salts, ammonium sulfate is the most preferred one.

The desired products, the optically pure (or enriched) unreacted ester and the optically pure (or enriched) acid may be isolated from the hydrolysis mixture using conventional methods such as extractions, acid-base extractions, filtration, chromatography, crystallization or combinations thereof. The recovered enzyme or microorganism may be recycled as described above.

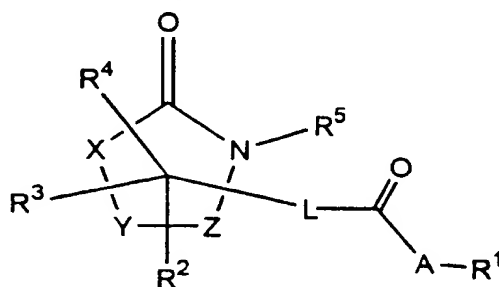
In a convenient isolation procedure, after the enzymatic hydrolysis, the pH is adjusted to pH 7.5 to 8 (in the case of immobilized biocatalysts, the biocatalyst is first separated by filtration), the product acid is separated from the unreacted ester by extracting the ester with an organic solvent such as methylene chloride, ethyl acetate, diethyl ether, methyl t-butyl ether, or any other solvent in which the substrate is soluble and stable. Concentration of the organic extracts affords the optically pure (or enriched) unreacted ester. Concentration of the aqueous phase yield the optically pure (or enriched) acid.

The acid can be freed of the buffer salts and enzyme by selective precipitation or chromatography or other methods known to those skilled in the art. These include acidifying the aqueous to pH 3 (or lower) and isolating the acid by extracting the acid with organic solvent such as methylene chloride, ethyl acetate, diethyl ether, methyl t-butyl ether, or any other solvent in which the acid is soluble and stable. Concentration of the organic extracts affords the optically pure (or enriched) unreacted ester and the optically pure (or enriched) acid and which can be purified and freed of the buffer salts and enzyme by selective precipitation or chromatography or other methods known to those skilled in the art.

Either of the optically pure (or enriched) unreacted ester and the optically pure (or enriched) acid could be racemized if so desired. The optically pure (or enriched) unreacted ester could be racemized by heating in the appropriate base under appropriate conditions. Alternatively, the optically pure (or enriched) unreacted ester could be racemized by heating

in acid in the presence of an alcohol under appropriate conditions. The optically pure (or enriched) unreacted acid could also be racemized and converted to the racemic esters by heating in acid in the presence of an alcohol under appropriate conditions. In this manner, excellent yields can be achieved of either the optically pure (or enriched) unreacted ester or the optically pure (or enriched) acid by this combination of stereoselective enzymatic hydrolysis and racemization techniques.

In a preferred embodiment, the present invention is directed to the enzymatic resolution of lactams of the formula (I):



(I)

$R^1$  is selected from the group consisting of alkyl, alkenyl, alkynyl, cycloalkyl, cycloalkenyl, heterocyclyl, aryl, and heteroaryl which may optionally be substituted by one or more of the following alkyl, alkenyl, alkynyl, hydroxy, alkoxy, thiol, thioalkoxy, halogen, nitro, amino, alkylamino, dialkylamino, aminoalkyl, dialkylaminoalkyl, arylamino, aminoaryl, alkylaminoaryl, cyano, haloalkyl;

A is selected from the group consisting of O, S, and NH or N which may be substituted respectively with one or two independent  $R^1$  (the  $R^1$ 's need not be the same);

L is selected from the group consisting of no group or alkylene, alkenylene, alkynylene, and  $-(CH_2)_m-D-(CH_2)_n-$ ;

D is selected from the group consisting of O, S, SO, SO<sub>2</sub>, Se, SeO, SeO<sub>2</sub>, N- $R^6$ ;

$R^6$  is selected from the group consisting of hydrogen, alkyl, alkenyl, alkynyl, cycloalkyl, cycloalkenyl, heterocyclyl, aryl, and heteroaryl which may optionally be substituted by one or more of the following: alkyl, alkenyl, alkynyl, hydroxy, alkoxy, thiol, thioalkoxy, halogen, nitro, amino, alkylamino, dialkylamino, aminoalkyl, dialkylaminoalkyl, arylamino, aminoaryl, alkylaminoaryl, cyano, haloalkyl;

$m = 0$  to about 7;

n = 1 to about 5;

wherein L may optionally be substituted by one or more of the following: alkyl, alkenyl, alkynyl, hydroxy, alkoxy, thiol, thioalkoxy,  $S(O)R^7$ ,  $S(O)_2R^7$ , halogen, nitro, amino, alkylamino, dialkylamino, aminoalkyl, dialkylaminoalkyl, arylamino, aminoaryl, alkylaminoaryl, cyano, haloalkyl, wherein all said substitutions may be optionally substituted with one or more of the following: alkyl, amino, alkylamino, dialkylamino, aminoalkyl, and  $R^7$  is alkyl, or aryl;

X is selected from the group consisting of NH, O, S, Se,  $(CH_2)_p$ , and  $CH=CH$ ;

p = 0 to about 4;

Y is selected from the group consisting of NH, O, S, SO,  $SO_2$ , Se, SeO,  $SeO_2$ ,  $(CH_2)_q$ ,  $CH=CH$ ;

q = 0 to about 2;

Z is selected from the group consisting of  $(CH_2)_v$ ,  $CH=CH$ ;

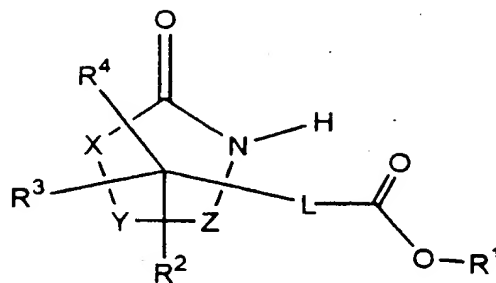
v = 0 to about 2;

$R^2$ ,  $R^3$ , and  $R^4$  are independently selected from alkyl, alkenyl, alkynyl, hydroxy, alkoxy, thiol, thioalkoxy,  $S(O)R^7$ ,  $S(O)_2R^7$ , halogen, nitro, amino, alkylamino, dialkylamino, aminoalkyl, dialkylaminoalkyl, arylamino, aminoaryl, alkylaminoaryl, cyano, haloalkyl, wherein all said substitutions may be optionally substituted with one or more of the following: halogen, alkyl, amino, alkylamino, dialkylamino, aminoalkyl, hydroxy, alkoxy, and

$R^5$  is independently selected from hydrogen, alkyl, alkenyl, alkynyl, hydroxy, alkoxy, thiol, thioalkoxy,  $S(O)R^7$ ,  $S(O)_2R^7$ , halogen, nitro, amino, alkylamino, dialkylamino, aminoalkyl, dialkylaminoalkyl, arylamino, aminoaryl, alkylaminoaryl, cyano, haloalkyl, wherein all said substitutions may be optionally substituted with one or more of the following: halogen, alkyl, amino, alkylamino, dialkylamino, aminoalkyl, hydroxy, alkoxy;

$R^2$ ,  $R^3$ , may optionally be taken together to form an alicyclic hydrocarbon, heterocyclyl, heteroaryl or aromatic hydrocarbon and said optionally formed ring may be optionally substituted with one or more of alkyl, alkenyl, alkynyl, hydroxy, alkoxy, thiol, thioalkoxy,  $S(O)R^7$ ,  $S(O)_2R^7$ , halogen, nitro, amino, alkylamino, dialkylamino, aminoalkyl, dialkylaminoalkyl, arylamino, aminoaryl, alkylaminoaryl, cyano, or haloalkyl.

Preferably, the present invention is directed to the enzymatic resolution of lactams of the formula (II):



(II)

$R^1$  is selected from the group consisting of alkyl, alkenyl, alkynyl, cycloalkyl, cycloalkenyl, which may optionally be substituted by one or more of the following: alkyl, alkenyl, alkynyl, hydroxy, alkoxy, thiol, thioalkoxy, and halogen;

L is selected from the group consisting of no group or alkylene, alkenylene, and alkynylene;

wherein L may optionally be substituted by one or more of the following: alkyl, alkenyl, alkynyl, hydroxy, alkoxy, thiol, thioalkoxy, halogen, nitro, amino, alkylamino, dialkylamino, aminoalkyl, dialkylaminoalkyl, arylamino, aminoaryl, alkylaminoaryl, cyano, and haloalkyl;

X is selected from the group consisting of  $(CH_2)_p$  and  $CH=CH$ ;

$p = 0$  to about 4;

Y is selected from the group consisting of NH, O,  $(CH_2)_q$  and  $CH=CH$ ;

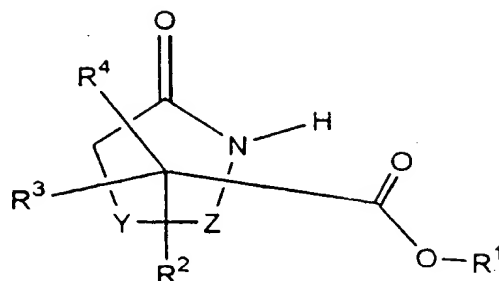
$q = 0$  to about 2;

Z is selected from the group consisting of  $(CH_2)_v$  and  $CH=CH$ ;

$v = 0$  to about 2;

$R^2$ ,  $R^3$ , and  $R^4$  are independently selected from alkyl, alkenyl, alkynyl, hydroxy, alkoxy, thiol, thioalkoxy, halogen, nitro, amino, alkylamino, dialkylamino, aminoalkyl, dialkylaminoalkyl, cyano, and haloalkyl, wherein all said substitutions may be optionally substituted with one or more of the following: halogen, alkyl, amino, alkylamino, dialkylamino, aminoalkyl, hydroxy, and alkoxy;

More preferably the present invention is directed to the enzymatic resolution of lactams of the formula (III):



(III)

R<sup>1</sup> is selected from the group consisting of alkyl, alkenyl, alkynyl, cycloalkyl, cycloalkenyl, which may optionally be substituted by one or more of the following: alkyl, alkenyl, alkynyl, hydroxy, alkoxy, thiol, thioalkoxy, and halogen;

Y is selected from the group consisting of NH, O, (CH<sub>2</sub>)<sub>q</sub> and CH=CH;

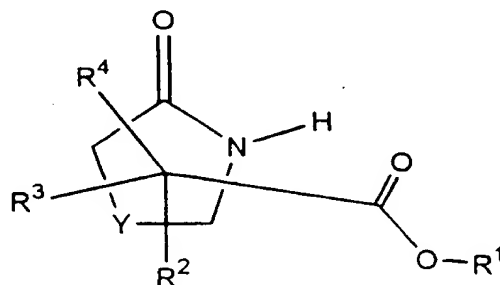
q = 0 to about 2;

Z is selected from the group consisting of (CH<sub>2</sub>)<sub>v</sub> and CH=CH;

v = 0 to about 2;

R<sup>2</sup>, R<sup>3</sup>, and R<sup>4</sup> are independently selected from alkyl, alkenyl, alkynyl, hydroxy, alkoxy, thiol, thioalkoxy, halogen, nitro, amino, alkylamino, dialkylamino, aminoalkyl, dialkylaminoalkyl, cyano, and haloalkyl, wherein all said substitutions may be optionally substituted with one or more of the following: halogen, alkyl, amino, alkylamino, dialkylamino, aminoalkyl, hydroxy, and alkoxy.

Even more preferably, the present invention is directed to the enzymatic resolution of lactams of the formula (IV):



(IV)

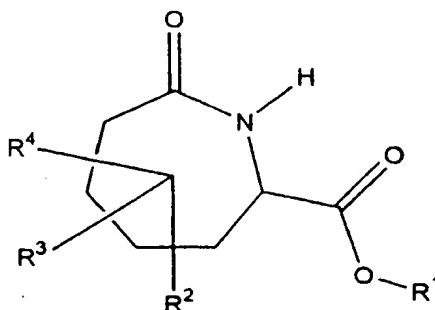
$R^1$  is selected from the group consisting of alkyl, alkenyl, alkynyl, cycloalkyl, cycloalkenyl, which may optionally be substituted by one or more of the following: alkyl, alkenyl, alkynyl, hydroxy, alkoxy, thiol, thioalkoxy, and halogen;

Y is selected from the group consisting of NH, O,  $(CH_2)_q$  and  $CH=CH$ ;

q = 0 to about 2;

$R_2$ ,  $R_3$ , and  $R_4$  are independently selected from alkyl, alkenyl, alkynyl, hydroxy, alkoxy, thiol, thioalkoxy, halogen, nitro, amino, alkylamino, dialkylamino, aminoalkyl, dialkylaminoalkyl, cyano, and haloalkyl, wherein all said substitutions may be optionally substituted with one or more of the following: halogen, alkyl, amino, alkylamino, dialkylamino, aminoalkyl, hydroxy, and alkoxy.

Most preferred the present invention is directed to the enzymatic resolution of lactams of the formula (V):



(V)

$R^1$  is selected from the group consisting of alkyl, alkenyl, alkynyl, cycloalkyl, cycloalkenyl, which may optionally be substituted by one or more of the following: alkyl, alkenyl, alkynyl, hydroxy, alkoxy, thiol, thioalkoxy, and halogen;

$R^2$ ,  $R^3$ , and  $R^4$  are independently selected from alkyl, alkenyl, alkynyl, hydroxy, alkoxy, thiol, thioalkoxy, halogen, nitro, amino, alkylamino, dialkylamino, aminoalkyl, dialkylaminoalkyl, cyano, and haloalkyl, wherein all said substitutions may be optionally substituted with one or more of the following: halogen, alkyl, amino, alkylamino, dialkylamino, aminoalkyl, hydroxy, and alkoxy.

As utilized herein, the term "alkyl", alone or in combination, means an acyclic alkyl radical containing from 1 to 10, preferably from 1 to 8 carbon atoms and more

preferably 1 to 6 carbon atoms. Examples of such radicals include methyl, ethyl, n-propyl, isopropyl, n-butyl, isobutyl, sec-butyl, tert-butyl, pentyl, iso-amyl, hexyl, octyl and the like.

The term "alkenyl" refers to an unsaturated acyclic hydrocarbon radical in so much as it contains at least one double bond. Such radicals containing from 2 to 10 carbon atoms, preferably from 2 to 8 carbon atoms and more preferably 2 to 6 carbon atoms. Examples of suitable alkenyl radicals include propylenyl, buten-1-yl, isobutenyl, pentenylen-1-yl, 2-2-methylbuten-1-yl, 3-methylbuten-1-yl, hexen-1-yl, hepten-1-yl, and octen-1-yl, and the like.

The term "alkynyl" refers to an unsaturated acyclic hydrocarbon radical in so much as it contains one or more triple bonds, such radicals containing 2 to 10 carbon atoms, preferably having from 2 to 8 carbon atoms and more preferably having 2 to 6 carbon atoms. Examples of suitable alkynyl radicals include ethynyl, propynyl, butyn-1-yl, butyn-2-yl, pentyn-1-yl, pentyn-2-yl, 3-methylbutyn-1-yl, hexyn-1-yl, hexyn-2-yl, hexyn-3-yl, 3,3-dimethylbutyn-1-yl radicals and the like.

The term "heterocyclyl" means an unsaturated cyclic hydrocarbon radical with 3 to about 6 carbon atoms, wherein 1 to about 4 carbon atoms are replaced by nitrogen, oxygen or sulfur. The "heterocyclyl" may be fused to an aromatic hydrocarbon radical. Suitable examples include pyrrolyl, pyridinyl, pyrazolyl, triazolyl, pyrimidinyl, pyridazinyl, oxazolyl, thiazolyl, imidazolyl, indolyl, thiophenyl, furanyl, tetrazolyl, 2-pyrrolinyl, 3-pyrrolinyl, pyrrolindinyl, 1,3-dioxolanyl, 2-imidazolynyl, imidazolidinyl, 2-pyrazolinyl, pyrazolidinyl, isoxazolyl, isothiazolyl, 1,2,3-oxadiazolyl, 1,2,3-triazolyl, 1,3,4-thiadiazolyl, 2H-pyranyl, 4H-pyranyl, piperidinyl, 1,4-dioxanyl, morpholinyl, 1,4-dithianyl, thiomorpholinyl, pyrazinyl, piperazinyl, 1,3,5-triazinyl, 1,3,5-trithianyl, benzo(b)thiophenyl, benzimidazonyl, quinolinyl, and the like.

The term "aryl" means an aromatic hydrocarbon radical of 4 to 16 carbon atoms, preferably 6 to about 12 carbon atoms, more preferably 6 to 10 carbon atoms. Examples of suitable aromatic hydrocarbon radicals include phenyl, naphthyl, and the like.

The term "heteroaryl" means aromatic hydrocarbon radical of 4 to 16 carbon atoms, preferably 6 to about 12 carbon atoms, more preferably 6 to 10 carbon atoms wherein 1 to about 4 carbon atoms are replaced by nitrogen, oxygen or sulfur.



The terms "cycloalkyl" or "cycloalkenyl" means an "alicyclic radical in a ring with 3 to 10 carbon atoms, and preferably from 3 to 6 carbon atoms. Examples of suitable alicyclic radicals include cyclopropyl, cyclopropylenyl, cyclobutyl, cyclopentyl, cyclohexyl, 2-cyclohexen-1-ylenyl, cyclohexenyl and the like.

5       The term "alkoxy", alone or in combination, means an alkyl ether radical wherein the term alkyl is as defined above and most preferably containing 1 to 4 carbon atoms. Examples of suitable alkyl ether radicals include methoxy, ethoxy, n-propoxy, isopropoxy, n-butoxy, iso-butoxy, sec-butoxy, tert-butoxy and the like.

The term "halogen" means fluorine, chlorine, bromine or iodine.

10       The term "prodrug" refers to a compound that is made more active *in vivo*.

As used herein, reference to "treatment" of a patient is intended to include prophylaxis.

### Examples

15       Example 1: Enzymatic Resolution of Racemic 7-carbomethoxycaprolactam

Four enzymes were each dissolved in 20 mL of buffer (pH 7, Sigma phosphate buffer with conc. of 0.1 mol/liter) to form four separate solutions. Racemic 7-carbomethoxycaprolactam was added to each solution. Each solution was then allowed to react at room temperature (20-25 °C). Aliquots were drawn (non-uniform in volume) at  
20       specific time intervals and their pH measured.

Each aliquot was then acidified to pH=1 with 0.5N KHSO<sub>4</sub> and then extracted with methylene chloride. The organic layer was separated, dried (MgSO<sub>4</sub>), filtered, stripped in vacuo and submitted for HPLC analysis. The mass recover averaged 60%. The results are shown in Table 1.

Table 1 - Altus Biologics Enzyme Data

Altus Biologics Enzyme #13 (Candida Antarctica B. Lipase) 25 mg of Enzyme per 500 mg Caprolactam methylester					
Rxn Time	%Acid A	%Acid B	%Ester A	%Ester B	pH
T = 15 min	18.3	6.6	25.8	49.2	7
T = 30 min	26.2	12.0	15.8	45.9	5
T = 1 H	29.2	16.4	12.2	42.1	4
T = 2 H	31.2	21.0	8.7	38.7	3
T = 4 H	31.5	21.3	6.9	40.2	3
Altus Biologics Enzyme #13 (Candida Antarctica B. Lipase) 50 mg of Enzyme per 500 mg Caprolactam methylester					
Rxn Time	%Acid A	%Acid B	%Ester A	%Ester B	pH
T = 15 min	26.6	11.9	18.2	43.0	5
T = 30 min	29.9	15.5	14.6	39.7	4
T = 1 H	29.4	16.7	12.8	40.7	3 - 4
T = 2 H	33.7	20.9	8.6	36.7	3
T = 4 H	35.3	23.1	41.7	0.0	3
Altus Biologics Enzyme #16 (Chiroclec-BL) 4 mg of Enzyme per 500 mg Caprolactam methylester					
Rxn Time	%Acid A	%Acid B	%Ester A	%Ester B	pH
T = 15 min	11.7	6.7	35.1	46.4	7 - 8
T = 30 min	19.7	12.1	26.8	41.1	7 - 8
T = 1 H	20.7	13.4	25.3	40.6	6
T = 2 H	21.7	14.8	23.5	40.1	5
T = 4 H	22.6	15.8	22.5	39.2	4 - 5
Altus Biologics Enzyme #16 (Chiroclec-BL) 8 mg of Enzyme per 500 mg Caprolactam methylester					
Rxn Time	%Acid A	%Acid B	%Ester A	%Ester B	pH
T = 15 min	16.6	9.5	31.9	42.1	7 - 8
T = 1 H	24.5	15.7	23.0	36.8	5 - 6
T = 1.5 H	23.3	16.1	23.0	37.6	5
T = 2 H	23.6	14.6	23.3	38.5	4 - 5
T = 4 H	22.0	14.0	23.8	40.3	4 - 5

Example 2: Enzymatic Resolution of Racemic 7-carbomethoxycaprolactam

Seven enzymes were each dissolved in 50 mL of buffer (pH 7) (phosphoric acid added to Sigma phosphate buffer with conc. of 0.1 mol/liter and pH 7.4) to form seven separate solutions. Racemic 7-carbomethoxycaprolactam was added to each solution so that 500 units of enzyme were used per 500 mg of ester substrate. Each solution was then allowed to react at room temperature (20-25 °C). Aliquots were drawn (non-uniform in volume) at specific time intervals and their pH measured.

Each aliquot was then acidified to pH=1 with 1M KHSO<sub>4</sub> and then extracted with methylene chloride. The organic layer was separated, dried (MgSO<sub>4</sub>), filtered, stripped in vacuo and submitted for HPLC analysis. The mass recovery averaged 50-60%. The results are shown in Table 2.

Table 2 - Extraction Work Up

THERMOGEN HYDROLYSIS ENZYMES (500 U WITH 500 mg Caprolactam methylester)				
Enzyme #	% Acid A	% Acid B	% Ester A	% Ester B
T = 2H				
E001	0.8	0.0	28.0	38.9
E002	2.2	0.0	37.3	59.1
E006	1.7	0.0	40.1	57.7
E009	0.0	0.0	46.8	51.8
E010	9.9	0.5	30.4	59.3
E014	1.7	0.4	44.6	53.4
E015	6.1	0.3	35.3	57.8
T = 4H				
E001	3.5	0.0	20.7	52.5
E002	11.0	0.6	21.0	65.8
E006	12.8	0.7	19.3	66.9
E009	1.0	0.0	44.8	53.3
E010	14.6	1.1	14.2	70.1
E014	3.0	0.2	41.5	55.3
E015	2.7	0.3	8.5	23.8
T = 9H				
E001	37.4	4.9	2.6	53.2
E002	35.7	4.6	3.0	55.8
E006	12.2	1.8	0.8	17.4
E009	9.6	1.6	34.9	46.6
E010	23.1	3.0	1.9	72.1
E014	5.1	3.2	36.8	54.9
E015	18.9	5.4	8.9	66.9
T = 20H				
E001	33.3	8.4	0.5	57.0
E002	32.5	6.7	0.3	55.6
E006	24.9	4.6	1.2	59.0
E009	6.1	0.7	31.9	58.0
E010	21.9	3.1	0.0	75.0
E014	4.4	0.6	31.4	63.6
E015	14.2	1.3	4.1	80.4

Four of the enzymes were also separately worked up with 1M KHSO<sub>4</sub> and then lyophilized. The residue was extracted extensively with methylene chloride. The extracts were stripped in vacuo and submitted for HPLC analysis. This method improved mass recovery to about 90%. The results are shown in Table 3. As can be seen in Table 3, the pH drops steadily during the hydrolysis reaction.

Table 3 - Lyophilisation Work Up

THERMOGEN HYDROLYSIS ENZYME E002 (500 U with 500 mg Caprolactam methylester)						
Rxn Time	%Acid A	%Acid B	%Ester A	%Ester B	mg covered	pH
T = 2H	21.6	1.8	28.7	47.9	75.0	6.8
T = 4H	35.2	2.2	14.0	48.7	80.0	6.2
T = 8H	51.4	4.1	2.5	42.0	305.0	6.2
THERMOGEN HYDROLYSIS ENZYME E010 (500 U with 500 mg Caprolactam methylester)						
Rxn Time	%Acid A	ept at pH	%Ester A	%Ester B	mg covered	pH
T = 2H	19.9	2.7	30.2	46.1	85.0	6.8
T = 4H	33.0	3.1	15.1	47.7	79.0	6.6
T = 8H	42.3	3.5	3.5	49.6	301.0	6.5
THERMOGEN HYDROLYSIS ENZYME E015 (500 U with 500 mg Caprolactam methylester)						
Rxn Time	%Acid A	%Acid B	%Ester A	%Ester B	mg covered	pH
T = 2H	15.8	1.1	36.1	45.9	91.0	6.8
T = 4H	27.8	1.4	20.8	48.7	82.0	6.3
T = 8H	37.8	1.6	11.3	48.7	260.0	6.4
THERMOGEN HYDROLYSIS ENZYME E020 (500 U with 500 mg Caprolactam methylester)						
Rxn Time	%Acid A	%Acid B	%Ester A	%Ester B	mg covered	pH
T = 2H	16.0	2.7	32.6	48.5	98.0	6.8
T = 4H	32.3	3.4	13.6	50.7	80.0	6.5
T = 8H	45.4	6.6	1.1	46.4	305.0	6.4

**Example 3:** Enzymatic Resolution of Racemic 7-carbomethoxycaprolactam

A reaction was conducted using E002 under the conditions set forth in Example 2 except that a pHstat was employed to maintain a constant pH of 7 throughout the reaction. The enzyme was worked up with 1M KHSO<sub>4</sub> and then lyophilized. The residue was extracted extensively with methylene chloride. The extract was stripped in vacuo and submitted for HPLC analysis. The results are shown in Table 4.

**Table 4 - Lyophilisation Work up**

<b>THERMOGEN HYDROLYSIS ENZYME E020 (500 U with 500 mg Caprolactam methylester)</b>				
Rxn Time	%Acid A	%Acid B	%Ester A	%Ester B
T = 2H	15.8	1.0	33.4	47.0
T = 4H	28.7	1.7	19.5	50.1
T = 6H	42.0	3.1	8.2	46.7
T = 8H	45.3	5.2	3.8	45.0
The reaction was kept at pH 7 using a pH stat. Solvents used were pH 7 phosphate buffer, and 0.1 N NaOH.				

**Example 4:** Enzymatic Resolution of Racemic 7-carbomethoxycaprolactam at temperatures above room temperatures

A solution of 33.3 g sodium hydrogenphosphate in 2000 mL DI(deionized) water is charged to a reaction vessel followed by a solution of 22.4 g potassium dihydrogenphosphate in 1300 mL DI water. The reaction mixture is stirred for 15 minutes at 47 °C-48 °C and 2.28 g ThermoCat E020 biocatalyst (activity: 18.5 units/mg) is added. The reaction mixture is stirred for 5 min or until a homogeneous solution is obtained. To the above mixture is added 60 g of 7-carbomethoxy caprolactam and the reaction mixture is stirred at 47 °C-48 °C. The progress of the reaction is monitored by HPLC. When undesired ester enantiomer is completely disappeared, which takes 3 to 8 h, the temperature of reaction mixture is brought down to 25 °C-27 °C. The product mixture is extracted with 3 x 1100 mL dichloromethane.

The organic layer is dried over anhydrous magnesium sulfate, filtered over celite and concentrated to dryness below 25 °C to give 22 g of a white waxy solid (73% of theory). HPLC analysis and comparison with standard samples indicated the solid isolated is the desired desired R-enantiomer.

5

Example 5: Procedures for the recycling and re-use of enzymes

Enzyme precipitation:

A 20-ml reaction mixture containing 2 mmoles of phosphate buffer (pH 7.6), 140 units of the thermoesterase ThermoCat E020 and 200 mg of the substrate, 7-carbomethoxy caprolactam, was incubated at 48 °C in a water bath shaker for 2 hours. A control was run in parallel without the addition of enzyme preparation. At the end of reaction, a 18 ml aliquot was collected and gently mixed with 7.2 g of ammonium sulfate. After the salt was completely dissolved, the solution reaches approximately 60% saturation and the protein enzyme was precipitated. The protein enzyme was then recovered by centrifugation at 4°C for 20 minutes.

Recycling and re-use of enzyme:

The precipitated protein enzyme was re-dissolved in 1.8 mmoles phosphate buffer (pH 7.6) and tested in a second batch reaction of an 18 ml re-constituted mixture. The substrate 7-carbomethoxy caprolactam was reduced to 180 mg and the reaction was followed by the same procedure as described above. At end of the second reaction, a 16 ml aliquot was collected and 6.4 g ammonium sulfate were used to isolate the enzyme. The third recycle reaction was conducted in a 16 ml re-constituted mixture containing 160 mg substrate by the same procedure. The products are analyzed by HPLC analyses. The results (HPLC area percentages) of these experimental are shown in the Table 5:

Table 5

Samples	Time	%Species			%Total			ee
		acid	ester 1	ester 2	acid	ester 1	ester 2	
Reaction mixture	0 min.	0	50	50	0	50	50	0 %
The first reaction:								
Control	120 min	17	41	41	100	50	50	0 %
Reaction mixture	120 min	59	8	34	100	18	82	63.6%
The second reaction (first recycle):								
Control	120 min	40	30	30	100	51	49	0 %
Reaction mixture	120 min	53	5	42	100	11	89	77.2%
The third reaction (second recycle):								
Control	120 min	42	32	26	100	56	44	0 %
Reaction mixture	120 min	43	15	44	100	25	75	49.3%

From the above data, it can be concluded this enzyme recycling procedures with ammonium sulfate precipitation is a simple method to recycle the enzyme for re-use.

**Example 6:** Procedures for the racemization of chiral 7-carbomethoxy caprolactam

#### Method A

To a mixture of 5 microliters of 25% sodium methoxide in methanol (22 micromoles of sodium methoxide) and 1 mL of dry tetrahydrofuran (THF) under nitrogen was added 54 mg of optically pure (R)-7-carbomethoxy caprolactam. The mixture was stirred at room temperatures for 48 hours. The product was filtered through Dowex® 50WX200 ion-exchange resin (Dowex-50W-hydrogen, strongly acidic, prewashed with water but not dried), washed with additional THF and evaporated to dryness to give 44 mg of product. HPLC analysis of the product indicated that the starting material, (R)-7-carbomethoxy caprolactam, has completely



racemized to a 50/50 mixture of the R and S isomers, (R)-7-carbomethoxy caprolactam and (S)-7-carbomethoxy caprolactam.

It is understood to those skilled in the art that if one would start with the (S)-7-carbomethoxy caprolactam as the starting material, the same racemic product mixture would result.

#### Method B

To a mixture of 1 mL of dry tetrahydrofuran (THF) and 54 mg of optically pure (R)-7-carbomethoxy caprolactam under nitrogen was added 0.47 mL of lithium diisopropylamide(LDA)/THF in cyclohexane (1.5M, 70 millimoles of LDA). The mixture was stirred at room temperatures for 1 hours. The product was filtered through Dowex® 50WX200 ion-exchange resin (Dowex-50W-hydrogen, strongly acidic, prewashed with water but not dried), washed with additional THF and evaporated to dryness to give 34 mg of product. HPLC analysis of the product indicated that the starting material, (R)-7-carbomethoxy caprolactam, has completely racemized to a 50/50 mixture of the R and S isomers, (R)-7-carbomethoxy caprolactam and (S)-7-carbomethoxy caprolactam, along with some racemized carboxylic acid.

It is understood to those skilled in the art that if one would start with the (S)-7-carbomethoxy caprolactam as the starting material, the same racemic product mixture would result.

#### Method C

To 20 mL of 25% sodium methoxide in methanol was added 64 mg of optically pure (R)-7-carbomethoxy caprolactam. The mixture was stirred to reflux for 24 hours. The product was cooled to 0 °C, the product was acidified, extracted with methylene chloride. The organic layer was concentrated to give 5 mg of solid. The aqueous layer was concentrated to dryness, the residue solid was extracted with THF, filtered and concentrated to dryness to give 24 mg of brown oil. HPLC analysis of the product indicated that the starting material, (R)-7-carbomethoxy caprolactam, has completely racemized and hydrolyzed to a 50/50 mixture of the R and S isomers of the

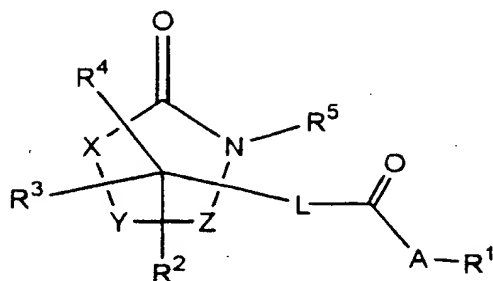
corresponding racemic acids, (R)-7-carboxy caprolactam and (S)-7-carboxy caprolactam.

5 It is understood to those skilled in the art that if one would start with the (S)-7-carbomethoxy caprolactam as the starting material, the same racemic product mixture would result.

**CLAIMS**

1. A method of separating enantiomeric lactam esters comprising contacting the lactam esters with a biocatalyst in an aqueous solution, an organic solvent, or a mixture  
5 of organic and aqueous solvents wherein only one enantiomer is selectively hydrolyzed to give the optically active isomer of the corresponding acid, and separating the hydrolysis product from the unreacted lactam esters.
2. The method of claim 1 wherein the biocatalyst is an enzyme or a microorganism.  
10
3. The method of claim 1 wherein the biocatalyst is an enzyme.
4. The method of claim 1 wherein the biocatalyst is in an aqueous buffer solution.
- 15 5. The method of claim 1 wherein the lactam esters are racemic.
6. The method of claim 3 wherein the enzyme is derived from thermostable enzymes.
7. The method of claim 1 wherein the reaction temperatures for the enzymatic  
20 resolution is in the range of 0°C and 50°C.
8. The method of claim 1 wherein the undesired isomer after the enzymatic resolution is racemized under basic conditions and recycled.
- 25 9. The method of claim 1 wherein the enzyme is recovered by precipitation with a salt and recycled for reuse.

10. The method of claim 1 wherein the lactam esters are of the formula (I):



(I)

$R^1$  is selected from the group consisting of alkyl, alkenyl, alkynyl, cycloalkyl, cycloalkenyl, heterocyclyl, aryl, and heteroaryl which may optionally be substituted by one or more of the following alkyl, alkenyl, alkynyl, hydroxy, alkoxy, thiol, thioalkoxy, halogen, nitro, amino, alkylamino, dialkylamino, aminoalkyl, dialkylaminoalkyl, arylamino, aminoaryl, alkylaminoaryl, cyano, haloalkyl;

A is selected from the group consisting of O, S, and NH or N which may be substituted respectively with one or two individual  $R^1$ ;

L is selected from the group consisting of no group or alkylene, alkenylene, alkynylene, and  $-(CH_2)_m-D-(CH_2)_n-$ ;

D is selected from the group consisting of O, S, SO,  $SO_2$ , Se, SeO,  $SeO_2$ ,  $N-R^6$ ;

$R^6$  is selected from the group consisting of hydrogen, alkyl, alkenyl, alkynyl, cycloalkyl, cycloalkenyl, heterocyclyl, aryl, and heteroaryl which may optionally be substituted by one or more of the following: alkyl, alkenyl, alkynyl, hydroxy, alkoxy, thiol, thioalkoxy, halogen, nitro, amino, alkylamino, dialkylamino, aminoalkyl, dialkylaminoalkyl, arylamino, aminoaryl, alkylaminoaryl, cyano, haloalkyl;

$m = 0$  to about 7;

$n = 1$  to about 5;

wherein L may optionally be substituted by one or more of the following: alkyl, alkenyl, alkynyl, hydroxy, alkoxy, thiol, thioalkoxy,  $S(O)R^7$ ,  $S(O)_2R^7$ , halogen, nitro, amino, alkylamino, dialkylamino, aminoalkyl, dialkylaminoalkyl, arylamino, aminoaryl, alkylaminoaryl, cyano, haloalkyl, wherein all said substitutions may be optionally substituted with one or more of the following: alkyl, amino, alkylamino, dialkylamino, aminoalkyl, and

$R^7$  is alkyl, or aryl;

X is selected from the group consisting of NH, O, S, Se,  $(CH_2)_p$ , and  $CH=CH$ ;

$p = 0$  to about 4;

Y is selected from the group consisting of NH, O, S, SO,  $SO_2$ , Se, SeO,  $SeO_2$ ,

5  $(CH_2)_q$ ,  $CH=CH$ ;

$q = 0$  to about 2;

Z is selected from the group consisting of  $(CH_2)_v$ ,  $CH=CH$ ;

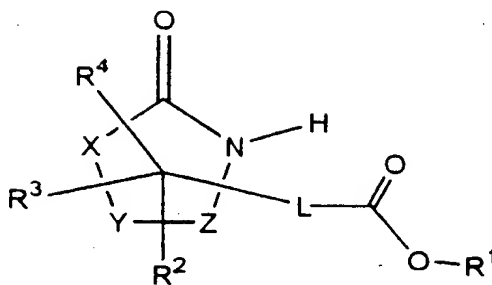
$v = 0$  to about 2;

10  $R^2$ ,  $R^3$ , and  $R^4$  are independently selected from alkyl, alkenyl, alkynyl, hydroxy, alkoxy, thiol, thioalkoxy,  $S(O)R^7$ ,  $S(O)_2R^7$ , halogen, nitro, amino, alkylamino, dialkylamino, aminoalkyl, dialkylaminoalkyl, arylamino, aminoaryl, alkylaminoaryl, cyano, haloalkyl, wherein all said substitutions may be optionally substituted with one or more of the following: halogen, alkyl, amino, alkylamino, dialkylamino, aminoalkyl, hydroxy, alkoxy, and

15  $R^5$  is independently selected from hydrogen, alkyl, alkenyl, alkynyl, hydroxy, alkoxy, thiol, thioalkoxy,  $S(O)R^7$ ,  $S(O)_2R^7$ , halogen, nitro, amino, alkylamino, dialkylamino, aminoalkyl, dialkylaminoalkyl, arylamino, aminoaryl, alkylaminoaryl, cyano, haloalkyl, wherein all said substitutions may be optionally substituted with one or more of the following: halogen, alkyl, amino, alkylamino, dialkylamino, aminoalkyl, 20 hydroxy, alkoxy;

$R^2$ ,  $R^3$ , may optionally be taken together to form an alicyclic hydrocarbon, heterocyclyl, heteroaryl or aromatic hydrocarbon and said optionally formed ring may be optionally substituted with one or more of alkyl, alkenyl, alkynyl, hydroxy, alkoxy, thiol, thioalkoxy,  $S(O)R^7$ ,  $S(O)_2R^7$ , halogen, nitro, amino, alkylamino, dialkylamino, 25 aminoalkyl, dialkylaminoalkyl, arylamino, aminoaryl, alkylaminoaryl, cyano, or haloalkyl.

11. The method of claim 10 wherein the lactams are of the formula (II):



(II)

$R^1$  is selected from the group consisting of alkyl, alkenyl, alkynyl, cycloalkyl, cycloalkenyl, which may optionally be substituted by one or more of the following:

5 alkyl, alkenyl, alkynyl, hydroxy, alkoxy, thiol, thioalkoxy, and halogen;

L is selected from the group consisting of no group or alkylene, alkenylene, and alkynylene;

wherein L may optionally be substituted by one or more of the following: alkyl, alkenyl, alkynyl, hydroxy, alkoxy, thiol, thioalkoxy, halogen, nitro, amino, alkylamino, dialkylamino, aminoalkyl, dialkylaminoalkyl, arylamino, aminoaryl, alkylaminoaryl, cyano, and haloalkyl;

X is selected from the group consisting of  $(CH_2)_p$ , and  $CH=CH$ ;

$p = 0$  to about 4;

Y is selected from the group consisting of NH, O,  $(CH_2)_q$  and  $CH=CH$ ;

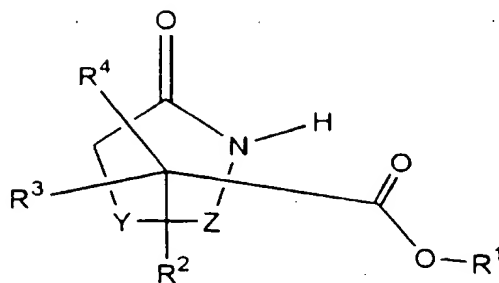
15  $q = 0$  to about 2;

Z is selected from the group consisting of  $(CH_2)_v$  and  $CH=CH$ ;

$v = 0$  to about 2;

$R^2$ ,  $R^3$ , and  $R^4$  are independently selected from alkyl, alkenyl, alkynyl, hydroxy, alkoxy, thiol, thioalkoxy, halogen, nitro, amino, alkylamino, dialkylamino, aminoalkyl, dialkylaminoalkyl, cyano, and haloalkyl, wherein all said substitutions may be optionally substituted with one or more of the following: halogen, alkyl, amino, alkylamino, dialkylamino, aminoalkyl, hydroxy, and alkoxy;

12. The method of claim 11 wherein the lactams are of the formula (III):



(III)

$R^1$  is selected from the group consisting of alkyl, alkenyl, alkynyl, cycloalkyl, cycloalkenyl, which may optionally be substituted by one or more of the following:  
5 alkyl, alkenyl, alkynyl, hydroxy, alkoxy, thiol, thioalkoxy, and halogen;

$Y$  is selected from the group consisting of  $NH$ ,  $O$ ,  $(CH_2)_q$  and  $CH=CH$ ;

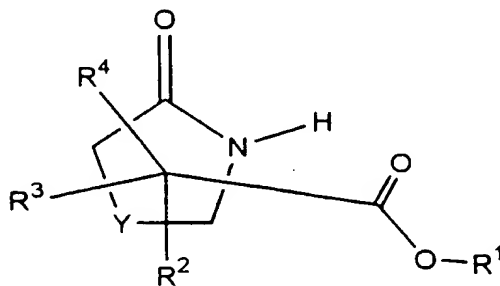
$q = 0$  to about 2;

$Z$  is selected from the group consisting of  $(CH_2)_v$  and  $CH=CH$ ;

10  $v = 0$  to about 2;

$R^2$ ,  $R^3$ , and  $R^4$  are independently selected from alkyl, alkenyl, alkynyl, hydroxy, alkoxy, thiol, thioalkoxy, halogen, nitro, amino, alkylamino, dialkylamino, aminoalkyl, dialkylaminoalkyl, cyano, and haloalkyl, wherein all said substitutions may be optionally substituted with one or more of the following: halogen, alkyl, amino, alkylamino,  
15 dialkylamino, aminoalkyl, hydroxy, and alkoxy.

13. The method of claim 12 wherein the lactams are of the formula (IV):



(IV)

$R^1$  is selected from the group consisting of alkyl, alkenyl, alkynyl, cycloalkyl, cycloalkenyl, which may optionally be substituted by one or more of the following: alkyl, alkenyl, alkynyl, hydroxy, alkoxy, thiol, thioalkoxy, and halogen;

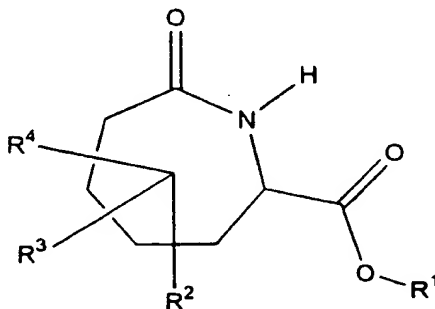
Y is selected from the group consisting of NH, O,  $(CH_2)_q$  and  $CH=CH$ ;

5  $q = 1$  to about 2;

$R_2$ ,  $R_3$ , and  $R_4$  are independently selected from alkyl, alkenyl, alkynyl, hydroxy, alkoxy, thiol, thioalkoxy, halogen, nitro, amino, alkylamino, dialkylamino, aminoalkyl,

10 ~~dialkylaminoalkyl, cyano, and haloalkyl, wherein all said substitutions may be optionally~~  
substituted with one or more of the following: halogen, alkyl, amino, alkylamino, dialkylamino, aminoalkyl, hydroxy, and alkoxy.

14. The method of claim 13 wherein the lactams are of the formula (V):



(V)

15  $R^1$  is selected from the group consisting of alkyl, alkenyl, alkynyl, cycloalkyl, cycloalkenyl, which may optionally be substituted by one or more of the following: alkyl, alkenyl, alkynyl, hydroxy, alkoxy, thiol, thioalkoxy, and halogen; and

20  $R^2$ ,  $R^3$ , and  $R^4$  are independently selected from alkyl, alkenyl, alkynyl, hydroxy, alkoxy, thiol, thioalkoxy, halogen, nitro, amino, alkylamino, dialkylamino, aminoalkyl, dialkylaminoalkyl, cyano, and haloalkyl, wherein all said substitutions may be optionally substituted with one or more of the following: halogen, alkyl, amino, alkylamino, dialkylamino, aminoalkyl, hydroxy, and alkoxy.



# INTERNATIONAL SEARCH REPORT

Int'l Application No

PCT/US 99/01485

## A. CLASSIFICATION OF SUBJECT MATTER

IPC 6 C12P41/00 C12P17/10 C12P17/12

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

IPC 6 C12P C07D

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	CHEMICAL ABSTRACTS, vol. 126, no. 17, 28 April 1997 Columbus, Ohio, US; abstract no. 222178, ROBERGE, CHRISTOPHER ET AL: "Process development for the production of the (S)-acid precursor of a novel elastase inhibitor (L-694,458) through the lipase -catalyzed kinetic resolution of a beta.- lactam benzyl ester" XP002105408 see abstract & J. FERMENT. BIOENG. (1997), 83(1), 48-53 CODEN: JFBIEX; ISSN: 0922-338X, ---	1-13
X	WO 91 00362 A (SCHERING AG) 10 January 1991 see claims ---	1-13
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☒ Further documents are listed in the continuation of box C.

☒ Patent family members are listed in annex.

### \* Special categories of cited documents:

"A" document defining the general state of the art which is not considered to be of particular relevance

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"O" document referring to an oral disclosure, use, exhibition or other means

"P" document published prior to the international filing date but later than the priority date claimed

"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention

"X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone

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"&" document member of the same patent family

Date of the actual completion of the international search

9 June 1999

Date of mailing of the international search report

22/06/1999

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# INTERNATIONAL SEARCH REPORT

tional Application No

PCT/US 99/01485

## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	<p>DATABASE WPI  Section Ch, Week 8303  Derwent Publications Ltd., London, GB;  Class B03, AN 83-06009K  XP002105409  &amp; JP 57 198098 A (SAGAMI CHEM RES CENTRE)  , 4 December 1982  see abstract</p>	1-11
A	<p>WO 94 03428 A (SEPRACOR INC)  17 February 1994  see claims</p>	1

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Information on patent family members

International Application No

PCT/US 99/01485

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